



Environmental Management Consolidated Business Center (EMCBC)

Subject: Destruction of Temporary Records

Implementing Procedure

APPROVED: (Signature on File)

EMCBC Director

ISSUED BY: Office of Logistics Management

1.0 PURPOSE

To establish responsibilities and provide detailed instructions for the destruction of temporary records that have met their authorized retention period for the U.S. Department of Energy (DOE) Environmental Management Consolidated Business Center (EMCBC) or applicable Service Level Agreement (SLA) sites.

2.0 SCOPE

This procedure provides instructions for the destruction of temporary records upon expiration of the authorized retention periods. It also provides information and defines responsibilities to familiarize EMCBC/SLA site employees with program requirements for destruction of temporary records.

► Note: This procedure only covers the destruction of temporary “non-classified paper” records. There are additional requirements for the destruction of “classified” and/or “electronic” records.

3.0 APPLICABILITY

This procedure applies to all EMCBC staff and subcontractors who maintain or are custodian of records and may be adopted by SLA sites, at their discretion.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 The Privacy Act of 1974

4.1.2 Executive Order 13423, “*Strengthening Federal Environmental, Energy, and Transportation Management*”

4.1.3 5 U.S.C. Section 552, “*Freedom of Information Act (FOIA)*”

4.1.4 18 U.S.C., Chapter 101, Section 2071, “*Concealment, removal, or mutilation generally*”

- 4.1.5 44 U.S.C., Chapter 31, “*Records Management by Federal Agencies*”
- 4.1.6 44 U.S.C., Chapter 33, “*Disposal of Records*”
- 4.1.7 36 CFR 1228, “*Disposition of Federal Records*”
- 4.1.8 DOE O 243.1, “*Records Management Program*”
- 4.1.9 DOE O 471.1A, “*Identification and Protection of Unclassified Controlled Nuclear Information*”
- 4.1.10 DOE O 471.3, “*Identifying and Protecting Official Use Only Information*”

4.2 References

- 4.2.1 DOE M 470.4-4, “*Information Security*”
- 4.2.2 DOE M 471.1-1, “*Identification and Protection of Unclassified Controlled Nuclear Information Manual*”
- 4.2.3 DOE M 471.3-1, “*Manual for Identifying and Protecting Official Use Only Information*”
- 4.2.4 Memorandum, Raymond S. Barrow, Director Officer of IRM Policy, Plans & Oversight, U.S. Department of Energy Headquarters to Distribution (DOE Field Office Directors/Managers), “*Moratorium on Destruction of Epidemiologic Records*”, dated October 23, 1991
- 4.2.5 IP-510-01, “*Electronic Discovery*”

5.0 DEFINITIONS

- 5.1 Classified Information: Information that is classified as Restricted Data or Formerly Restricted Data under the Atomic Energy Act of 1954, or information determined to require protection against unauthorized disclosure under Executive Order 12958, Classified National Security Information, as amended, or prior executive orders, which is identified as National Security Information. For the security requirements and procedures affecting classified records, see DOE M 470.4-4, *Information Security Manual*, dated 08-26-2005. (Reference 4.2.1)

▲Note: DOE M 470 4-4 is only required if classified documents are involved. The EMCBC does not have classified documents, but a SLA site may.

- 5.2 Destruction: Eliminate from a system a group of records in compliance with the appropriate records retention schedule so that they cannot be accessed, retrieved or recovered.

- 5.3 Disposition: Those actions taken regarding records no longer needed for the conduct of the regular current business of the holder. These actions include transfer to storage facilities or records centers, transfer of physical and/or legal custody to National Archives and Records Administration (NARA), and destruction.

- 5.4 Disposition Authority: DOE Record Control Schedule, which provides mandatory instructions for the disposition of the records.

- 5.5 Electronic Records: Records that are stored in a form that only a computer can process. Electronic records may be the products of office automation or larger transactional automated applications. As with all records systems, systems containing electronic records must be designed so that adequate maintenance and disposition procedures are planned during the systems design phase.

- 5.6 Epidemiological Records: Records that contain information useful in determining the magnitude of exposures or health impacts (radiological or chemical) to workers or the public. This information can be related to the equipment, materials, and processes used on site; and include measurements of contaminants in the workplace, at release points, or the environment, work and medical histories of workers, and meteorological and other information helpful in determining the fate of contaminants released into the environment.

- 5.7 File Plan: A file plan is a comprehensive outline that defines the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records.

- 5.8 Medium: The physical form of recorded information such as paper, film, disk, magnetic tape, and other materials on which information can be recorded.

- 5.9 National Archives and Records Administration (NARA): An independent government agency responsible for establishing policies and procedures for managing the records of the federal government. NARA exercises final authority for approving the disposition of government records.

- 5.10 Nonrecord Material: U.S. Government-owned documentary materials excluded from the legal definition of records, either by failing to meet the general conditions of record status already described, or by falling under one of three specific categories: Extra copies of documents preserved only for convenience of reference, stocks of publications and of processed documents or library or museum material made or acquired and preserved solely for reference or exhibition purposes.

- 5.11 Official Use Only (OUO): Certain unclassified information that may be exempt from release under the FOIA. Detailed identification and protection requirements are contained in DOE O 471.3, *Identifying and Protecting Official Use Only Information*, dated 4-9-03 (Requirement 4.1.9), and DOE M 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*, dated 4-9-03. (Reference 4.2.3)

- 5.12 Records: "...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by the Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the information value of the data in them." (44 U.S.C. 3301, Definition of Records).

- 5.13 Records Control Schedule: Provides mandatory instructions for the disposition of records (including the transfer of permanent records and disposal of temporary records).

- 5.14 Records Management Field Officer: A person responsible for overseeing a records management program in a field office in cooperation with the agency Records Officer.

- 5.15 Record Series: A group of related files kept together as a unit because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have a relationship arising from their creation, receipt, or use.

- 5.16 Temporary Records: Records approved by NARA for destruction, either immediately or after a specified retention period.

- 5.17 Unauthorized Disposal: The improper removal of records from agency custody or the willful or unlawful destruction of records without regard to a NARA approved records schedule (see 18 U.S.C., Chapter 101, Section 2071 for penalties).

- 5.18 Unclassified Controlled Nuclear Information (UCNI): Certain unclassified but sensitive information concerning nuclear material, weapons, and components the distribution of which is controlled under Section 148 of the Atomic Energy Act. Detailed information and protection requirements are contained in DOE O 471.1A, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 6-30-00 (Requirement 4.1.9), and DOE M 471.1-1, *Identification and Protection of Unclassified Controlled Nuclear Information Manual*, dated 10-23-01 (Reference 4.2.2).

6.0 RESPONSIBILITIES

6.1 Records Management Staff/ Records Management Field Officer (RMFO)

- 6.1.1 Develop, implement and maintain a disposition of temporary records program to ensure records are promptly dispositioned in accordance with applicable regulations.
- 6.1.2 Review all destruction requests to ensure applicable disposition authorities and retention schedules are used.
- 6.1.3 Coordinate records destruction request to ensure all required signatures are obtained on the EMCBC Destruction Certificate prior to approving actual destruction of records.
- 6.1.4 Review destruction requests to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date.
- 6.1.5 For internal destructions, work with the Office of Contracting to procure destruction services from a National Association for Information Destruction, Inc. (NAID) certified vendor or coordinate the destruction in-house.
- 6.1.6 Observe internal destructions, complete the destruction certificates, obtain vendor certification, and update both paper files and electronic finding aids.

6.2 Office of Legal Services (OLS)

- 6.2.1 Review destruction requests to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date.
- 6.2.2 Identify, communicate, and terminate legal holds (destruction freezes) as defined in IP-510-01 (Reference 4.2.5).

6.3 Functional Area Manager and/or Assistant Directors

- 6.3.1 Review destruction requests to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date.

7.0 GENERAL INFORMATION

7.1 Record Disposition Schedules

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposition authorization for records common to several or all agencies of the Federal Government. In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, many of the records descriptions are general. These records comprise an estimated one third of the total volume of records created by Federal agencies.

Since the GRS covers only records that are common among several agencies, for complete coverage of the disposition of all its records, each agency must independently develop schedules for its remaining records. Schedules developed by DOE include Administrative Record Schedules (which customize and replace some GRS schedules) and Programmatic Schedules which document the unique, substantive functions for which the agency is responsible (such as environmental records, nuclear weapons records and research and development records, among others).

All DOE records schedules are also approved by the Archivist of the United States.

7.2 Destruction of Temporary Records

The DOE records schedules authorize destruction of temporary records when their retention period expires. Records with restrictions, such as those containing personal privacy, proprietary business information, Official Use Only (OUO) or Unclassified Controlled Nuclear Information (UCNI), must be shredded or otherwise destroyed so as to be irretrievable. If those records are destroyed by outside contractors, a federal employee or, if authorized by DOE, contractor must witness the destruction. DOE M 470.4-4 (Reference 4.2.1) governs the destruction of classified documents. Specific laws and regulations, including the Privacy Act of 1974 and NARA regulations (36 CFR 1228.58) (Requirement 4.1.7), govern the destruction of other restricted records.

▲ Note: The destruction of temporary records shall include recycling where appropriate, thus supporting Executive Order 13423 (Requirement 4.1.2) and the EMCBC Strategic Plan on pollution prevention and waste minimization.

7.3 Retention Periods

NARA regulations require the disposal of temporary records when their authorized retention periods expire. Retention periods for temporary records can be expressed in the following manner:

- 7.3.1 A fixed period after records in a series or system are created (e.g., “Destroy when 2 years old”).
- 7.3.2 A fixed period after a predictable event (contingent records e.g., “Destroy 3 months after work is performed or requisition is canceled”).
- 7.3.3 Minimum and maximum periods can be expressed by combining these two elements (e.g., “Destroy when results are incorporated into summary reports, or when 5 years old, whichever is sooner”).

7.4 Destruction Risks

The EMCBC must monitor records to prevent unauthorized destruction, which is illegal under federal law (44 U.S.C., Chapter 31, Section 3106) (Requirement 4.1.5), and carries penalties of a fine and up to three years of imprisonment. Agency staff must report to the Records Management staff any unlawful or accidental removal, defacing, alteration or destruction of records.

The report should include:

- a complete description of the records, along with volume and dates if known;
- the office of origin;
- an explanation of the exact circumstances surrounding the unauthorized action;
- details, when appropriate, of the actions taken to salvage, retrieve or reconstruct the records; and
- a statement of safeguards established to prevent further losses.

Other major risks associated with destruction are:

- Delayed destruction: Temporary records must be destroyed promptly on or shortly after the approved destruction date. If destruction is not prompt, the Agency will be obligated to review and include those records in response to a discovery or FOIA request.
- Improper destruction method or incomplete destruction: DOE must ensure that temporary records, especially classified, OOU, UCNI and other sensitive records, are destroyed in accordance with the applicable regulations. If destruction is not done properly, information in records may be compromised or stolen. Offices must make certain any paper records and other media are completely destroyed, and that electronic records are destroyed in a manner that the record cannot be physically reconstructed.

7.5 Suspending Destruction (freeze)

Records eligible for destruction should not be maintained beyond their disposition date. However, special circumstances may require continued retention. These circumstances include:

- records “holds” due to a business need, epidemiological, litigation, audit or FOIA requests; and
- changes to the records retention period that are in process or have yet to be forwarded to the FRC.

In these circumstances, normal disposition activities for all records, regardless of media, must be suspended until the action is complete and offices have been notified that disposition may be resumed.

Legal holds, as defined in IP-510-01, (Reference 4.2.5) shall be identified by OLS, communicated to applicable organizations, and ultimately terminated when action is resolved.

If DOE requires retention of records stored at an FRC for more than one year past the scheduled destruction date, they must request NARA’s approval to temporarily extend a retention period. If NARA approves an extension, it will notify DOE. For records kept less than one year past the destruction date, no formal extension is necessary.

7.6 Review Process

A review of each organizational file plan will be coordinated by the Records Management staff annually to determine which records are eligible for destruction; this will typically be conducted at the beginning of a calendar year to allow the previous fiscal year records to be closed out.

8.0 PROCEDURE

- 8.1 When expired records are located externally (at a Federal Record Center [FRC]), the FRC will notify DOE of the pending disposal of records via a Notice of Eligibility for Disposal (NA 13001) ninety (90) days in advance of the scheduled destruction.

► Note: When expired records are located internally, proceed to 8.5.

Records Management Staff

- 8.2 Upon receipt of NA 13001 pull the hard copy of the Records Transmittal and Receipt (SF 135).
- 8.3 Review NA 13001 and the SF 135 to:
- confirm proper disposition authority was used,
 - validate the record is eligible for destruction based on the cutoff date and retention period,
 - check for any destruction freezes, and
 - ensure the box index (finding aid) is attached.
- 8.4 After review, **EITHER**
- 1) Proceed to 8.7 if ok to continue with destruction approval process, **OR**
 - 2) Provide detailed reason why the records cannot be destroyed along with an appropriate timeframe the records need to be retained and proceed to 8.7.14.
- 8.5 When expired records located internally are eligible for destruction as delineated in the offices' approved file plan; review to:
- confirm the proper disposition authority was used,
 - validate the record is eligible for destruction based on the cutoff date and retention period,
 - check for any destruction freezes, and
 - ensure there is a box index (finding aid).
- 8.6 After review, **EITHER**:
- 1) Proceed to 8.7 if ok to continue with destruction approval process, **OR**
 - 2) Provide detailed reason why the records cannot be destroyed along with an appropriate timeframe the records need to be retained and proceed to 8.7.15.
- 8.7 Initiate the EMCBC Records Destruction Certificate (Form # IP-243-06-F1), Attachment B;

- 8.7.1 **For records located externally (at a FRC);** attach a copy of the SF 135 and box index to the destruction certificate to allow a thorough review,
OR
- 8.7.2 **For records located internally;** ensure the destruction certificate is very detailed and if possible include an index of the records (e.g., each file folder).
- 8.7.3 Obtain the appropriate Functional Area Manager and/or Assistant Director review/approval

Functional Area Manager / Assistant Director

- 8.7.4 Review destruction request to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date and perform one or more of the following steps, if needed:
- Request and obtain additional approvals (e.g., another Assistant Director or further technical review).
 - Request and complete physical review of boxes (if the records are located at the FRC, the Records Management staff will make arrangements for on-site review at the FRC).
- 8.7.5 After review, **EITHER**:
- 1) Approve by signing the Destruction Certificate and forward to the Records Management Field Officer and proceed to 8.7.7, **OR**
 - 2) Provide detailed reason why the records cannot be destroyed along with an appropriate timeframe the records need to be retained in the designated box on the destruction certificate and forward to the Records Management staff.

Records Management Staff

- 8.7.6 **IF** the Functional Area Manager /Assistant Director does not approve the destruction proceed to 8.7.14 for external records and 8.7.15 for internal records.

Records Management Field Officer

- 8.7.7 Review destruction request to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date and perform one or more of the following steps, if needed:

- Request and obtain additional approvals (e.g., another Assistant Director or further technical review).
- Request and complete physical review of boxes (if the records are located at the FRC, the Records Management staff will make arrangements for on-site review at the FRC).

8.7.8 After review, **EITHER**:

- 1) Approve by signing the Destruction Certificate and forward to the Office of Legal Services and proceed to 8.7.10, **OR**
- 2) Provide detailed reason why the records cannot be destroyed along with an appropriate timeframe the records need to be retained in the designated box on the destruction certificate.

Records Management Staff

8.7.9 **IF** the Records Management Field Officer does not approve the destruction proceed to 8.6.14 for external records and 8.6.15 for internal records.

Office of Legal Services

8.7.10 Review destruction request to ensure there are no special circumstances that may require the record to be retained beyond its scheduled disposition date and perform one or more of the following steps, if needed:

- Request and obtain additional approvals (e.g., another Assistant Director or further technical review).
- Request and complete physical review of boxes (if the records are located at the FRC, the Records Management staff will make arrangements for onsite review at the FRC).

8.7.11 After review, **EITHER**:

- 1) Approve by signing the Destruction Certificate and forward to the Records Management staff, **OR**
- 2) Provide detailed reason why the records cannot be destroyed along with an appropriate timeframe the records need to be retained, forward destruction certificate to the Records Management staff and proceed to 8.7.14 for external and 8.7.15 for internal.

Records Management Staff

8.7.12 **IF** all parties approve the destruction and the records are located externally (at a FRC), complete the NA 13001 by signing and dating the form, then return to the FRC. The FRC must receive written concurrence before destruction can take place.

►Note: **IF** all parties approve the destruction and the records are located internally, proceed to 8.7.13.

8.7.12.1 Annotate the original SF 135, noting that approval was given to the FRC for destruction of records.

▲APPROVED FOR DESTRUCTION, “*insert DATE*”, “*insert INITIALS*”

8.7.12.2 Annotate the Destruction Certificate, as shown below.

<p align="center">Destruction Certification</p> <p>I hereby certify the above records have been destroyed:</p> <p>Method of destruction: [FRC]</p> <p>Date records destroyed: [insert date FRC notified]</p> <p>Signature: [signature of Records Management staff Member who notified the FRC]</p> <p>Records Mgmt Team use only</p> <p align="center">SF 135 annotated to show the records have been</p>
--

8.7.12.3 Scan the annotated SF 135, NA 13001 and the annotated destruction certificate to an electronic file (Portable Document Format, [PDF], utilizing Optical Character Recognition [OCR]).

8.7.12.4 Insert scanned images into the electronic destruction certificate directory.

8.7.12.5 Delete “original” electronic image of the SF 135 located in the electronic finding aid.

8.7.12.6 File the hard copy records (e.g., annotated SF 135, NA 13001 and the destruction certificate) in the destruction certificate file. See Attachment E for an example of a completed package.

8.7.13 **IF** all parties approve the destruction and the records are located internally, the Records Management staff will prepare the records for destruction.

- 8.7.13.1 The Records Management staff will determine the method of destruction (e.g., recycling, pulping, shredding, etc.), as well as who will perform the destruction (e.g., internal or external).
- 8.7.13.2 Once the records have been destroyed, annotate the Destruction Certificate, as shown below.

<p style="text-align: center;">Destruction Certification</p> <p>I hereby certify the above records have been destroyed:</p> <p>Method of destruction: <i>[insert method of destruction]</i></p> <p>Date records destroyed: <i>[insert date of destruction]</i></p> <p>Signature: <i>[signature of individual who either performed the destruction OR the Records Management staff member who witnessed the destruction]</i></p> <p>Records Mgmt Team use only</p> <p>SF 135 annotated to show the records have been destroyed. (See attached SF 135)</p>
--

- 8.7.13.3 Obtain certificate from vendor and attach to the EMCBC Destruction Certification. This certificate will also be used as documentation to support the EMCBC Pollution Prevention and Waste Minimization Program.

► Note: The vendor certificate provides verification that the records have been destroyed.

- 8.7.13.4 Scan the destruction certificate to an electronic file (Portable Document Format, [PDF], utilizing Optical Character Recognition [OCR]).

- 8.7.13.5 Insert scanned image into electronic finding aid.

- 8.7.13.6 File the hard copy record into the destruction certificate file.

- 8.7.14 **IF** all parties do not approve the destruction and the records are located externally (at a FRC), document reason on the NA 13001, sign, date, copy and return to the FRC.

► Note: **IF** all parties do not approve the destruction and the records are located internally, proceed to 8.7.15.

- 8.7.14.1 Annotate the SF 135, noting any change in disposal authority and/or justification.

- 8.7.14.2 Scan the annotated SF 135, to an electronic file (Portable Document Format, [PDF], utilizing Optical Character Recognition [OCR]).
- 8.7.14.3 Insert scanned image into electronic finding aid (replacing previously scanned version).
- 8.7.14.4 File the hard copy records (e.g., annotated SF135, NA 13001 and destruction certificate) in the SF135 file.
- 8.7.15 **IF** all parties do not approve the destruction and the records are located internally, document reason on the file plan.
- 8.7.16 File the hard copy records in the record destruction holds file.

9.0 RECORDS MAINTENANCE

- 9.1 Records generated as a result of implementing this procedure are identified as follows, and are maintained by the Office of Logistics Management:
 - 9.1.1 IP-243-06-F1, “EMCBC Records Destruction Certificate” (includes approvals and non-approvals from Functional Area Assistant Directors, OLS and RMFO).
 - 9.1.2 NARA form SF 135, “Record Transmittal and Receipt”
 - 9.1.3 NARA form NA 13001, “Notice of Eligibility”

10.0 FORMS USED

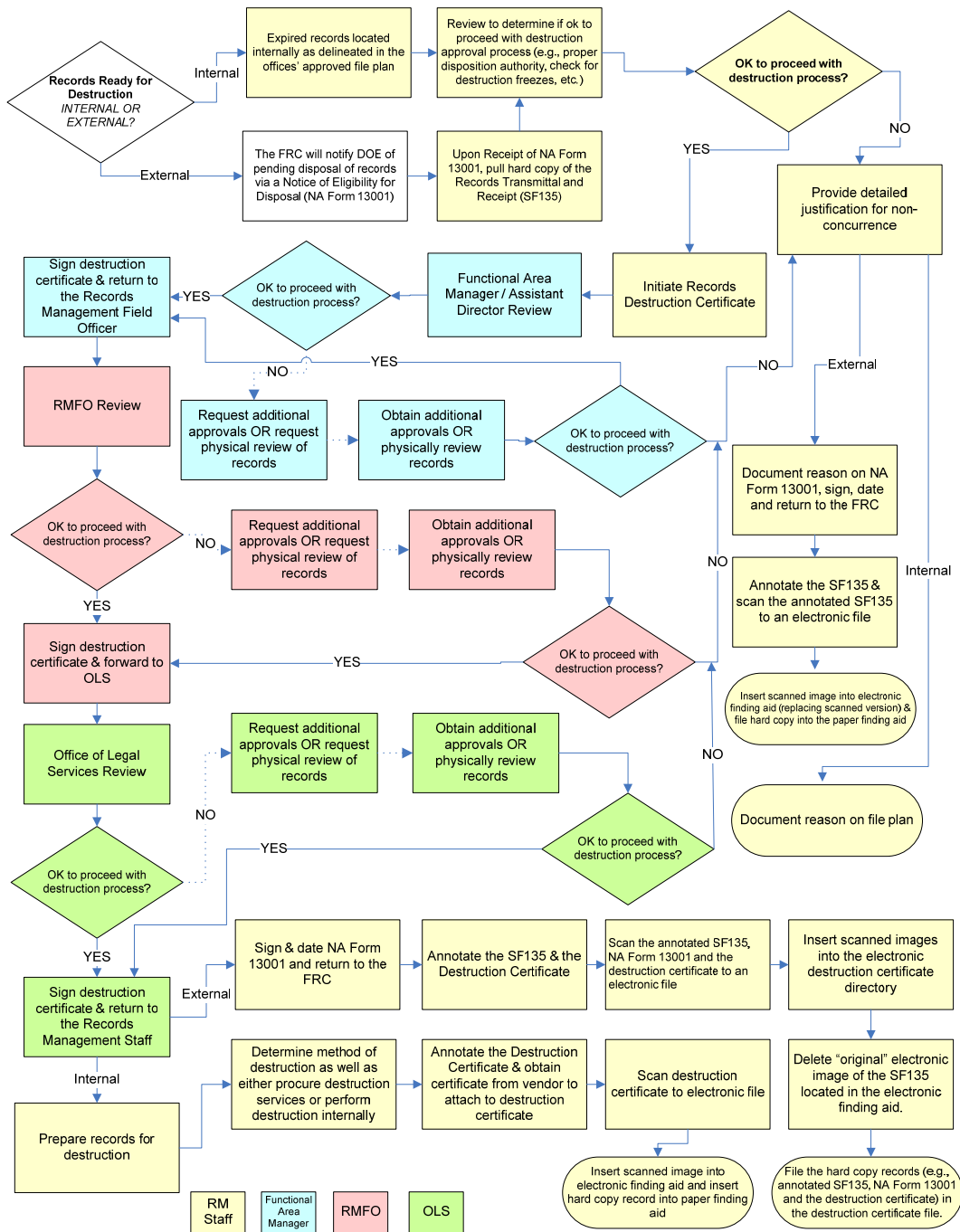
- 10.1 IP-243-06-F1, “EMCBC Records Destruction Certificate”
- 10.2 NARA Form SF 135, “Record Transmittal and Receipt”
- 10.3 NARA Form NA 13001, “Notice of Eligibility”

11.0 ATTACHMENTS

- 11.1 Attachment A, Destruction of Temporary Records Flow Diagram
- 11.2 Attachment B, IP-243-06-F1, “EMCBC Records Destruction Certificate”
- 11.3 Attachment C, NARA Form SF 135, “Record Transmittal and Receipt”
- 11.4 Attachment D, NARA Form NA 13001, “Notice of Eligibility”

11.5 Attachment E, Completed Destruction Package for Records Located Externally
(Example)

DESTRUCTION OF TEMPORARY RECORDS



Attachment B

**U.S. DEPARTMENT OF ENERGY
ENVIRONMENTAL MANAGEMENT
CONSOLIDATED BUSINESS CENTER (EMCBC)
RECORDS DESTRUCTION AUTHORIZATION/CERTIFICATE**
Please complete a separate form for each records series eligible for destruction

FROM: Enter the Project Office and organization (office/section) name and the Records Custodian name	TO: Enter the Project Office and organization (office/section) name and the Records Coordinator name
	DOE-EMCBC Office of Logistics Management Records Management Field Officer

The records identified below have reached their retention period and are eligible for destruction. Your signature certifies that these records no longer possess sufficient administrative, legal, historical, or fiscal value to warrant further retention and can be destroyed. If the records can not be destroyed due to special circumstances (e.g., litigation, claims, DOE destruction moratoria), and a temporary extension of the retention period is required, please provide the reason for the temporary extension of the retention period to include a future review date (up to one year is permitted) in the space provided below. *Authority: 36 CFR §1228.54 and §1228.58.*

DISPOSITION AUTHORITY Applicable DOE Records Schedule and item number.	RECORD SCHEDULE TITLE
SERIES DISPOSITION TITLE	
SERIES DESCRIPTION Enter the applicable DOE Records Schedule Series Description	
RETENTION PERIOD Disposition instructions as shown in the applicable DOE Records Schedule disposition authority.	
ACCESSION NUMBER FROM NARA STANDARD FORM SF-135 (if stored at a Federal Record Center)	TOTAL VOLUME Amount destroyed in cubic feet.

BOX # or FILE CODE <small>Internal box # or file code.</small>	DESCRIPTION OF BOXES/FILES TO BE DESTROYED <small>Enter a description of the physical type (if other than paper) and informational content of the records included in the series.</small>	INCLUSIVE DATES <small>Enter the period covered by the records.</small>		ELIGIBLE FOR DESTRUCTION DATE <small>Month/Year</small>
		From	To	

☐ Approved _____
 Assistant Director (Functional Area Manager) Date

☐ Approved _____
 DOE-EMCBC Records Management Field Officer (RMFO) Date

☐ Approved _____
 Office of Legal Services (OLS) Date

Reason for temporary extension of the retention period:

Destruction Certification

I hereby certify the above records have been destroyed:

Method of destruction: _____

Date records destroyed: _____

Signature: _____

Records Mgmt Team use only

- ☐ SF 135 annotated to show the records have been destroyed or retention extended. (See attached SF 135)

Completed Destruction Package
for Records Located Externally
(Example)

**U.S. DEPARTMENT OF ENERGY
ENVIRONMENTAL MANAGEMENT
CONSOLIDATED BUSINESS CENTER (EMCBC)
RECORDS DESTRUCTION AUTHORIZATION/CERTIFICATE**
Please complete a separate form for each records series eligible for destruction

FROM: <small>Enter the Project Office and organization (office/section) name and the Records Custodian name</small> National Archives and Records Administration Great Lakes Region 3150 Springboro Road Dayton, OH 45439-1883	TO: <small>Enter the Project Office and organization (office/section) name and the Records Coordinator name</small> DOE-EMCBC Office of Logistics Management Records Management Field Officer
--	--

The records identified below have reached their retention period and are eligible for destruction. Your signature certifies that these records no longer possess sufficient administrative, legal, historical, or fiscal value to warrant further retention and can be destroyed. If the records can not be destroyed due to special circumstances (e.g., litigation, claims, DOE destruction moratoria), and a temporary extension of the retention period is required, please provide the reason for the temporary extension of the retention period to include a future review date (up to one year is permitted) in the space provided below. Authority: 36 CFR §1228.54 and §1228.58

DISPOSITION AUTHORITY <small>Applicable DOE Records Schedule and item number</small>	RECORD SCHEDULE TITLE
ADM 3.3.a(1)(b)	ADMINISTRATIVE RECORDS SCHEDULE 3: PROCUREMENT, SUPPLY, AND GRANT RECORDS
SERIES DISPOSITION TITLE	
Routine Procurement Files	
SERIES DESCRIPTION <small>Enter the applicable DOE Records Schedule Series Description</small>	
Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12).	
a Procurement or purchase organization copy, and related papers <ul style="list-style-type: none"> (1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining simplified acquisition threshold") (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. 	
RETENTION PERIOD <small>Disposition instructions as shown in the applicable DOE Records Schedule disposition authority</small>	
Destroy 3 years after final payment.	
ACCESSION NUMBER FROM NARA STANDARD FORM SF-135 <small>(if stored at a Federal Record Center)</small>	TOTAL VOLUME <small>Amount destroyed in cubic feet</small>
434-05-3033	1

BOX # or FILE CODE <small>Internal box # or file code</small>	DESCRIPTION OF BOXES/FILES TO BE DESTROYED <small>Enter a description of the physical type (if other than paper) and informational content of the records included in the series.</small>	INCLUSIVE DATES <small>Enter the period covered by the records</small>		ELIGIBLE FOR DESTRUCTION DATE <small>Month/Year</small>
		From	To	
OH 479	Ohio Field Office, Office Acquisition & Asset Mgmt Bankcard statements, small purchases and supporting documentation (FY 2002-2005) <\$2,000 Closing Date: 3/31/2005	FY2002	FY2005	4/1/2008

☒ Approved*[Signature]*
Assistant Director (Functional Area Manager)

Date

2/1/08☒ Approved*[Signature]*
DOE-EMCBC Records Management Field Officer (RMFO)

Date

2/4/2008☒ Approved*[Signature]*
Legal Counsel

Date

2/5/08

Reason for temporary extension of the retention period:

Destruction Certification	
I hereby certify the above records have been destroyed:	
Method of destruction:	<u>NARA Notified of Appeal</u>
Date records destroyed:	<u>Approved 2/5/08</u>
Signature:	<u>Harry Bird</u>
Records Mgmt Team use only	
<input checked="" type="checkbox"/>	SF 135 annotated to show the records have been destroyed or retention extended. (See attached SF135)

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 2

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150)		5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)	
Federal Records Center 3150 Springboro Road Dayton, OH 45439-1883		Anne Wickham U.S. Department of Energy Ohio Field Office 175 Tri-County Parkway Springdale, OH 45246	
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (Signature and title) <i>[Signature]</i> Records Manager	DATE 9-7-05	Alternate Point of Contact: Department of Energy Chief Information Officer Records Management Office (301) 903-3666 CHRC CIN
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone no.) Anne Wickham, Records Manager (513) 246-0463		
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and title) <i>[Signature]</i>	DATE 10/6/05	

Fold Line

RECORDS DATA

ACCESSION NUMBER			VOLUME (cu ft.) (d)	AGENCY BOX NUMBERS (e)	SERIES DESCRIPTION (With inclusive dates of records) Agency Charge Code: OH (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER			
RG (a)	FY (b)	NUMBER (c)							LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO. DISP. (m)
434	05	3033	1	OH 479	Ohio Field Office, Office Acquisition & Asset Mgt Bankcard Statements, Small Purchases and Supporting Documentation (FY 2002-2005) <\$2000 CLOSING DATE: 3/31/2005 NARA Notified 2/5/08 of Approval for Disposal		ADM 3.3 a.(1)(b)	4/1/2008 Destroy 3 yrs after final payment.	3011-1434	B	A	2

NSN 7540-00-634-4093
Description Continued

135-107

Standard Form 135 (Rev. 7-85)
Prescribed by NARA

*comp BX 1
1050500*

FRC BOX #	UNIQUE ID #	CONTENTS	DATES
1 OF 1	OH 479	Bank Card Statements, Small Purchases and Supporting Documentation for AAM, Compliance, Fernald and Miamisburg Office Chief Financial Officer, Bank of America statements Office Chief Financial Officer, Bank of America statements	10/1/2002-3/31/2005 4/1999-5/1999 9/27/02 - 7/27/2003

NOTICE OF ELIGIBILITY FOR DISPOSAL		DATE OF NOTICE 01 01 08	DISPOSAL DATE 200804
<p>The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.170(b), they will be destroyed only with the concurrence of the agency having legal custody of the records. If you concur with the destruction of these records, sign and date this notice in the appropriate blocks below, return the notice to the Federal Records Center, and annotate your SF-135 (all copies) to show that the records have been destroyed.</p> <p>REMARKS:</p> <p>LOCATION: 30-11-14-3-4 30-11-14-3-4</p>		RECORDS DESCRIPTION	
		ACCESSION NUMBER 434-05-3033	SUBGROUP CIN
		DISPOSAL AUTHORITY DOE/ADM/3/3A1B	VOLUME (Cu. ft.) 1.000
		SERIES DESCRIPTION, INCLUSIVE DATES AND BOX NUMBERS (If applicable) 1 1 200503 ~OH PROCUREMENT UNDER \$2k	
		ADDRESS OF FEDERAL RECORDS CENTER	
		NARA GREAT LAKES REGION (DAYTON) 3150 SPRINGBORO ROAD DAYTON, OH 45439	
SIGNATURE <i>Kathy Bird</i>	DATE 2/5/08	PROGRAM ANALYST	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA FORM 13001 (Rev. 6-99)